



# ADMINISTRATIVE NOTES

Newsletter of the Federal Depository Library Program

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July 31, 1990

## Cataloging Branch Joins OCLC Enhance Project

Effective July 1, 1990, the Cataloging Branch of the Library Programs Service joined OCLC's Enhance Project, a collaborative venture in which libraries which have achieved a very high quality of cataloging are empowered to upgrade cataloging records contributed by other libraries. OCLC provides direct access to GPO's cataloging to over 10,000 member libraries worldwide, including over 1,000 depository libraries. Participation in the Enhance Project provides formal recognition of GPO's status as the national cataloging authority for Government publications. By designating GPO as an Enhance library, OCLC commends GPO for the high quality of its cataloging, and confers on GPO the ability to replace the OCLC master data base record for any Government publication with GPO's cataloging data. This provides depository librarians ready access to consistent and high-quality records for items in their depository collections.

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## Cataloging Branch to Issue Revised Guidelines

The Cataloging Branch has recently completed the third edition of the GPO Cataloging Guidelines. The organization of the Guidelines has been extensively changed in this edition. Rather than being divided into four chapters, the Guidelines are now arranged in a single alphabetical sequence, and a detailed index has been added.

The GPO Cataloging Guidelines are expected to be distributed to all depository libraries later this summer. Other interested parties may request a copy by writing:

Chief, Cataloging Branch  
Stop SLLC  
U.S. Government Printing Office  
Washington, DC 20401

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United States Government Printing Office  
Washington, DC 20401

CIRCULAR LETTER 320

June 21, 1990

TO: Printing and Publishing Officials of the Federal Government

SUBJECT: Guidelines for the Provision of Government Publications  
for Depository Library Distribution

In compliance with the 1962 Depository Library Act (44 U.S.C. Chapter 19 and P.L. 87-579), the Government Printing Office (GPO) administers the Depository Library Program. Through this program, over 50 regional depository libraries and nearly 1,350 selective depository libraries throughout the United States and its territories receive Government publications free of charge.

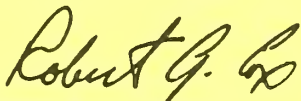
The GPO determines what publications should be distributed through the Depository Library Program for orders placed through GPO and/or on direct-deal contracts (Central Office and Regional), and bears the printing and binding costs of the depository copies. However, for products produced independently of the GPO, agencies are required to make the determination, and bear the printing and binding costs of copies for depository library distribution. In both cases, GPO bears the expense of distributing the copies.

The enclosed Guidelines for the Provision of Government Publications for Depository Library Distribution was developed to guide Government agency officials in determining the suitability of various Government publications for depository distribution. Included as Appendix I to the Guidelines is Use of GPO Form 3868, Notification of Intent to Publish, distributed as Circular Letter 311 on October 25, 1989. To further assist you in making your determinations, Types of Publications Included in the Depository Library Program and Types of Publications Excluded from the Depository Library Program are also included as Appendices II and III.

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Your efforts are crucial to ensure that all Government publications are evaluated for inclusion in the Depository Library Program. Should you require additional information on this matter, please contact the individuals referenced in the Guidelines, or your Account Representative.

Sincerely,

A handwritten signature in cursive script, appearing to read "Robert G. Cox".

ROBERT G. COX  
Acting Superintendent, Departmental  
Account Representative Division

Enclosures



## GUIDELINES FOR THE PROVISION OF GOVERNMENT PUBLICATIONS FOR DEPOSITORY LIBRARY DISTRIBUTION

### 1. PURPOSE OF THE GUIDELINES

The purpose of these guidelines is to assist agencies in complying with the 1962 Depository Library Act (44 U.S.C. Chapter 19 and P.L. 87-579) for ensuring that government publications are made available to depository libraries. These guidelines will assist agencies by describing the U.S. Government Printing Office (GPO) requirements and procedures, and providing examples of the type of materials to be included in the program.

### 2. OVERVIEW OF THE DEPOSITORY LIBRARY PROGRAM

The Depository Library Program is administered by the GPO by which government publications are provided free of charge to 1400 libraries in the United States and its territories. Approximately 50 "regional" depositories receive all publications distributed through the program for permanent retention to ensure that archival resource collections of government documents remain available throughout the United States. The remaining 1350 "selective" depositories may choose to receive only specific categories of publications to meet local needs. In return for receiving government documents at no cost, depository libraries must make the documents available to the public, and provide appropriate assistance to users.

The purpose and goals of the Depository Library Program are rooted in these underlying principles:

- \* A well informed citizenry, cognizant of the policies and activities of its representative Government, is essential for the proper functioning of democracy; information provided by government documents is a primary means for citizens to keep informed;
- \* The public has a right to information contained in government documents which have been published at public expense; the Government has an obligation to ensure availability of, and access to, these documents at no cost. These documents are a permanent source of Federal information; and
- \* The Federal Government benefits by realizing efficiencies afforded by a centralized distribution system, such as the Depository Library Program, which ensures wide availability of government publications; individual agencies are able to satisfy much of the public demand for their publications without incurring the costs associated with responding to individual requests for free copies.

### 3. AGENCY RESPONSIBILITIES

Agencies are required by 44 U.S.C. Sections 1901, 1902, and 1903 to make all of their publications ("informational matter which is published as an individual document at Government expense, or as required by law") regardless of the printing source, available to the Superintendent of Documents for distribution to depository libraries, except those which are:

- \* determined by their issuing components to be required for official use only or for strictly administrative or operational purposes which have no public interest or educational value (See Appendix III for examples);
- \* classified for reasons of national security; and
- \* so-called cooperative publications which must necessarily be sold in order to be self-sustaining.

Agencies are not responsible for the printing and binding costs of depository library copies if the publication is printed through GPO. If publications are not printed through GPO, such as those produced in Joint Committee on Printing (JCP) authorized printing plants, procured under a JCP authorization printing waiver, or under Government contract or grant, the agency must pay for the printing and binding costs of depository library copies. In all cases, GPO bears the expense of distributing the publications.

### 4. PROCEDURES

Depository copies are ordered for all agency publications not falling within the "exception" categories described in Section 3. Ordering procedures vary according to the printing source of the publication, and are described in Appendix I.

### 5. ADDITIONAL INFORMATION OR ASSISTANCE

For additional information, clarification, or assistance about providing publications to the Depository Library Program, please contact your Departmental Account Representative, the staff in GPO's Regional Printing and Procurement Offices, or the following staff of the Library Programs Service:

Chief, Depository Administration Branch  
(202) 275-1071

Chief, Acquisitions and Classification Section,  
Depository Administration Branch  
(202) 275-1063



APPENDIX I

CIRCULAR LETTER 311  
October 25, 1989

SUBJECT: Use of GPO Form 3868, Notification of Intent to Publish

BACKGROUND

Title 44, U.S. Code, requires that the Superintendent of Documents be advised of ALL publications to be printed by Federal Government agencies with the following exceptions:

1. Publications determined by their issuing components to be required for official use only or for strictly administrative or operation purposes which have no public interest or educational value.
2. Publications which are classified for reason of national security.

HOW TO ADVISE THE SUPERINTENDENT OF DOCUMENTS OF AN AGENCY'S INTENT TO PUBLISH

1. The primary means of notifying the Superintendent of Documents of a forthcoming publication is the "Notification of Intent to Publish," GPO Form 3868 (see sample at end of this letter). Agencies should forward two completed copies of this form to the following address at least 30 days prior to submission of the job for printing and binding through the Government Printing Office or other authorized channels (i.e., in-house, on waiver, etc.):

U.S. Government Printing Office  
Documents Control Branch  
STOP: SSMC  
Washington, DC 20402

2. Individual copies of GPO Form 3868 do not need to be prepared for documents if they are produced regularly under a term contract. Dated (i.e., regularly issued) periodicals, which are part of an annual subscription service, are an example of this type of publication. However, if a publication is printed under a "general usage" or miscellaneous publication contract, a Form 3868 should be submitted for each individual title published.
3. Additional copies of the Notification of Intent to Publish may be obtained from GPO's Regional Printing Procurement Offices, Documents Control Branch at the address listed above, or your Account Representative in the central office.

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THE PURPOSE OF NOTIFYING THE SUPERINTENDENT OF DOCUMENTS VIA THE  
GPO FORM 3868

1. The information on the GPO Form 3868 will be used for two purposes:
  - a. To determine the quantity requirements of the Depository Library Program. Under Title 44, U.S. Code, the Superintendent of Documents distributes Government Publications to almost 1,400 depository libraries throughout the United States. Title 44, U.S. Code, Sections 1901-1903 and OMB Circular A-130 require agencies to furnish copies of Government publications that were not printed through GPO. The agency does not bear the cost of depository copies if the document is printed through GPO. In these cases the Agency must provide a full, accurate description of the publication on the GPO Form 3868, so that GPO has sufficient information to order the correct depository quantity and thereby avoid later back-to-press costs to the Government. The actual number of copies distributed depends on the type and content of the publication. The average is 450, but may range from 200 or less for a very technical document to more than 800 for a popular title.
  - b. To provide the Superintendent of Documents with a general description of the publication. This information is used to determine whether to include the publication in the Documents Sales Program. The Superintendent of Documents sells 12,000 different titles, both publications and subscriptions, to the public. When a publication is included in the Sales Program, our Marketing Staff can use the information supplied on the GPO Form 3868 to assist them in marketing your publication to the appropriate audience.
2. Personnel from Documents Sales and Depository Library areas will provide the publishing agency with copy requirements.
3. Questions regarding the Sales, Depository Library, or Marketing programs should be directed to the following:

SALES PROGRAM

U.S. Government Printing Office  
Chief, Documents Control Branch  
STOP: SSMC  
Washington, DC 20402  
(202) 275-3343



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DEPOSITORY LIBRARY PROGRAM

U.S. Government Printing Office  
Chief, Depository Administration Branch  
STOP: SLLA  
Washington, DC 20401  
(202) 275-1071

MARKETING PROGRAM

U.S. Government Printing Office  
Director of Marketing  
STOP: SM  
Washington, DC 20401  
(202) 275-3634 .

Sincerely,

ROBERT G. COX  
Superintendent, Departmental Account  
Representative Division

**NOTIFICATION OF INTENT TO PUBLISH--FORM 3868**

To insure that your publication will receive proper consideration for inclusion in our Sales and Depository Library programs, please supply all of the requested information available at the time this form is submitted. Please submit at least 30 days before sending in your Printing Requirement, whether you recommend your publication for sale or not. Two copies of the completed form should be sent to: Documents Control Branch (SSMC), U.S. Government Printing Office, Washington, DC 20402.

Please type. Form is signed for typewriter use.

Part I. To be completed by AGENCY PUBLISHER or PROGRAM OFFICER.

Stock Number \_\_\_\_\_ (SuDocs will provide.)

Printing and Binding Req. Number 9-01234

RPPG Control Number \_\_\_\_\_

Date Submitted 9-2-89

Please notify ☐ publisher ☐ printing officer of rider decision.

JOHN SMITH

(Publisher, Program Officer, or Author's Name)

Editor

(Position or Title)

(301) 555-1234

(Area Code) (Phone)

NASA

(Publishing Agency)

PLANETARY SERVICE DIVISION

(Bureau)

1. Title of publication ON MARS, EXPLORATION OF THE RED PLANET
2. What publication does it supersede? Stock Number 033-000-00000-0 Title Same, (1982 ed.)
3. How does this compare with previous editions? Extensively revised and updated
4. Intended target audiences. (Please be as specific as possible, e.g., indicate *fossil fuel energy researchers* instead of *researchers or scientists*.)  
Space historians and persons interested in space exploration of Mars.
5. Brief description of contents Traces the history of NASA's exploration of Mars, focusing on the Mariner, Voyager, and Viking spacecraft programs.
6. Quantity for agency distribution 300 Specific audiences for agency distribution Internal
7. Recommended for sale ☒ Yes—Quantity 10,000 ☐ No Reason for recommendation Interest in space programs
8. Suggested audiences for sale copies Space historians and persons interested in space exploration
9. Will agency mailing lists be used for your promotional mailings? ☐ No ☒ Yes if yes, number of addresses available 20,000
10. Please check types of promotions planned by agency for sales copies:  
☒ Flyer—Quantity 20,000 Audiences Agency list of people interested in space publications  
☒ Press Releases—Quantity 200 Audiences Aerospace & Astronomy Magazines & Journals  
☒ Review Copies—Quantity 200 Audiences " " " " " " " " " " " " " " " "  
☒ Advertising in: ☒ Agency Publications ☐ Paid Media ☐ Other \_\_\_\_\_ Est. Total Circulation 15,000
11. Depository Library distribution ☒ Yes ☐ No If no, reason (See reverse for explanation) ☐ 1) ☐ 2)

Part II. SPECIFICATIONS: To be completed by AGENCY PRINTING OFFICER. JACK JONES (301) 555-3456  
(Printing Officer's Name) (Area Code) (Phone)

12. Publication description: ☒ Non-subscription ☐ Subscription ☒ New ☐ Revision ☐ Reprint  
Series--Number NASA SP 4212 Anticipated revision date \_\_\_\_\_ Series--Title NASA History Series
13. FORMAT: ☒ book ☐ tape COVER: ☐ self BINDING: ☐ saddle stitch ☐ looseleaf ☐ banded  
☐ folder ☐ microform ☒ paper ☐ side stitch ☐ punched ☐ shrink wrapped  
☐ form ☐ other \_\_\_\_\_ ☐ casebound ☐ adhesive ☐ drilled ☐ other \_\_\_\_\_  
☐ map ☐ other \_\_\_\_\_ ☒ sewn
14. Unit of Issue each No. of Pages 560 No. of Illustrations 200 Trim Size 8.5 x 11 No. of Foldins \_\_\_\_\_
15. 4-color process ☒ Yes ☐ No Smallest type size in points 8
16. Jacket No. \_\_\_\_\_ Program No. \_\_\_\_\_ Print Order No. \_\_\_\_\_
17. Printer: ☒ Main GPO ☐ Deal Direct ☐ Waiver ☐ GPO Regional Office (City) \_\_\_\_\_

Part III. To be completed by SUPERINTENDENT OF DOCUMENTS

IMS initials/Date \_\_\_\_\_

18. SuDocs riding for \_\_\_\_\_ copies ☐ Not for sales ☐ For sale line only ☐ individual cartons ☐ Cartons ☐ Other \_\_\_\_\_
19. Dep. Lib. riding for \_\_\_\_\_ copies File Copies \_\_\_\_\_ IES Copies \_\_\_\_\_ Item number \_\_\_\_\_

Part IV. This space may be used by AGENCY.

GPO will ride for \_\_\_\_\_ paper copies \_\_\_\_\_ cloth copies

Paper S/N \_\_\_\_\_ Price: \$ \_\_\_\_\_ Cloth S/N \_\_\_\_\_ Price: \$ \_\_\_\_\_

## APPENDIX II

### TYPES OF PUBLICATIONS INCLUDED IN THE DEPOSITORY LIBRARY PROGRAM

**PURPOSE:** This appendix describes 17 types of publications for inclusion in the Depository Library Program, and provides examples of each type. They are considered to be of "public interest" and/or "educational value" insofar as members of the general public (individuals, governments, private and public institutions, and organizations) have, or could express a need for, or interest in, the information for research, instructional, informational, scholarly, or compliance purposes.

Special care must also be taken to include the following formats in the Depository Library Program:

- \* CONSOLIDATED REPRINTS;
- \* APPENDICES, SUPPLEMENTS and INSERTS such as maps, charts, photographs, microforms;
- ALL THE ISSUES of publications issued on a continuing basis, such as periodicals, multi-volume sets, and titles in numbered series;
- \* ALL PIECES OF MULTI-PART publications, such as the binder and tabs in one package and the contents in another;
- \* Publications printed in an UNBOUND FORM intended to be inserted in a binder by the recipient;
- \* MULTIPLE LANGUAGE VERSIONS of the same publication including braille;
- \* Publications that are produced in IRREGULAR FORMATS, such as wall charts, microfiche, CD-ROM, floppy disks, and multi-media kits; and
- \* SUPPLEMENTS, ADDITIONS, AND ERRATA SHEETS.

**QUESTIONS:** If you have questions about whether your publications fall within the scope of the Depository Library Program, please contact either of the following:

Chief, Depository Administration Branch  
(202) 275-1071

Chief, Acquisitions and Classification Section  
Depository Administration Branch  
(202) 275-1063



1. PUBLIC NOTICES, INFORMATION MEMOS, NEWS (press) RELEASES, BULLETINS, and NEWSLETTERS published on a recurring basis.

EXAMPLES:

Crime Statistics. Justice Department  
Crop Yields. Department of Agriculture  
Consumer Price Index. Department of Labor, Bureau of Labor Statistics  
ICRDB Cancergram. Department of Health and Human Services, National Cancer Institute  
Export Briefs. Department of Agriculture, Foreign Agriculture Service

2. HANDBOOKS, MANUALS, GUIDES, including TECHNICAL, PROCEDURAL, ADMINISTRATIVE and TRAINING publications.

EXAMPLES:

A Guide for Emergency Highway Traffic Regulation.  
Department of Transportation, Federal Highway Administration  
Protection in the Nuclear Age. Federal Emergency Management Administration  
A Guide to Bone Marrow Transplant. Veterans Administration, Bone Marrow Transplant Unit, Seattle, WA  
Patent and Trademark Office Manual of Classification.  
Department of Commerce, Patent & Trademark Office  
Social Security Handbook. Department of Health and Human Services, Social Security Administration

3. CIRCULARS that are advisory in nature, warning the public or segments of the public about dangers, proper conditions for safety, etc.

EXAMPLE:

Advisory Circular. Utility Airports Air Access to National Transportation. Department of Transportation, Federal Aviation Administration

4. DIRECTORIES that list staff, office and agency locations, services, etc.

EXAMPLES:

Employees of Diplomatic Missions. Department of State  
Directory of Services. Executive Office, United States Attorneys  
National Register of Historic Places. Department of Interior, National Park Service  
United States House of Representatives Telephone Directory  
U.S. House of Representatives

5. PROCEEDINGS of symposia, public meetings, workshops, conferences, hearings, etc.

EXAMPLES:

Proceedings of the Creativity and Innovation in Bureaucracy Symposium. National Defense University  
Proceedings of the Ocean Drilling Program, Part A, Initial Reports. National Science Foundation

6. FORMS including surveys, applications for services, grants, admission to programs, jobs, etc.

EXAMPLES:

Department of Health & Human Services CS11 Surveillance Systems. Follow-up Form B. Department of Health & Human Services, Centers for Disease Control  
Application Booklet. Law Student Program. Part-Time/Volunteer/Work Study Intern. Department of Justice  
Comprehensive Outpatient Rehabilitation Facility Survey Report Form. Department of Health & Human Services  
Map of Mining Claims. Department of Interior, Bureau of Mines

7. MAPS, ATLASES, CHARTS (geographical, topographical, climatological, nautical, economic, etc.)

EXAMPLES:

Reconnaissance Maps to Assist in Identifying Alluvial Valley Floors, West Central & Northwestern Colorado.  
 Department of Interior, Office of Surface Mining, Reclamation and Enforcement  
Bridger-Teton National Forest Travel Plan. Department of Agriculture, Forest Service  
Antarctic Region-Selected Year Round Research Station.  
 Department of Defense, Defense Mapping Agency  
Cumberland River Navigation Chart. Department of Defense, Army Corps of Engineers

8. POSTERS (lithographs, photographs, pictures, etc.)

EXAMPLES:

How to Prepare Your Express Mail. United States Postal Service  
There Was a Time When People Only Shot Pictures. Department of Interior, National Park Service  
Censo del Condado de Los Angeles Central de 1986. Acepte un Empleo Temporal que Cuenta. Department of Commerce

9. CATALOGS, bibliographies, abstracts, and indexes which identify and describe publications, educational courses, activities, events, etc.)

EXAMPLES:

Student Intern Programs. Department of State  
Glen Echo Park--Fall Classes & Events. Department of  
Interior, National Park Service  
Emergency Management Institute. Federal Emergency  
Management Administration  
Census Catalog & Guide 1989. Department of Commerce,  
Census Bureau  
Monthly Catalog of U.S. Government Publications.  
U.S. Government Printing Office

10. REPORTS, including one-time and recurring reports, which generally describe the status of organizations and/or results of research, investigations, studies, surveys, etc. All versions of a report (draft, preliminary, interim, final) unless they are preliminary versions which are intended for internal agency review and/or not to be circulated outside of the Federal Government.

EXAMPLES:

Peru Post Report. Department of State  
Fermilab Report. Fermi National Acceleration Laboratory  
Monthly Report. Department of Energy  
Federal Judicial Center - Staff Paper, The Caseload  
Experiences of District Courts from 1972 to 1983: A  
Preliminary Analysis. Federal Judicial Center  
GAO Reports. Comptroller General  
Military Sealift Command--Annual Report. United States  
Navy  
Habitat Suitability Index Models: Grater Sandhill Crane.  
Biological Report 82 (10) August 1985. Department of  
Interior, Fish & Wildlife Service

11. JOURNALS, PERIODICALS, NEWSPAPERS (published on a periodic basis, more substantial than newsletters and bulletins).

EXAMPLES:

Humanities. National Endowment for the Humanities  
Business America. Department of Commerce  
Monthly Labor Review. Department of Labor, Bureau of Labor  
Statistics



12. ENVIRONMENTAL IMPACT STATEMENTS AND ASSESSMENTS (draft and final). Draft statements are very important since they are issued to obtain public comment.

EXAMPLES:

Draft Willow Creek Interdisciplinary Watershed Activity Plan. Environmental Assessment. Department of Interior, Bureau of Land Management, Lewistown District Office  
Draft Environmental Impact Statement. Shoshone National Park. Department of Agriculture, Forest Service  
Toxic Release Inventory in CD-ROM. Environmental Protection Agency

13. LEGAL MATERIALS, including LAWS, DECISIONS issued by regulatory agencies, Courts, Inspectors General, etc., LEGAL OPINIONS, REGULATIONS and RULES, LEGISLATIVE HISTORIES, and TREATIES and INTERNATIONAL AGREEMENTS.

EXAMPLES:

United States Code. U.S. Congress  
Statutes at Large. National Archives, Federal Register Office  
Digest of Unpublished Decisions of the Comptroller General. General Accounting Office  
FIMR - Federal Information Management Regulations. General Services Administration, Office of Information Resource Management  
Congressional Record in CD-ROM. U.S. Congress  
Treaties In Force. State Department

14. FLYERS, BROCHURES, BOOKLETS, PAMPHLETS designed to explain Government services and activities to the public.

EXAMPLES:

Your Right to Question the Decision Made on Your SSI Claim. Department of Health & Human Services, Social Security Administration  
Telecommunications Devices for the Deaf: A Guide to Selecting, Ordering and Installation. U.S. Architectural and Transportation Barriers Compliance Board  
Information About Treasury Notes and Bonds Sold at Original Issue. PD 800-a. Department of Treasury  
Small Business Profits Through Marketing. Small Business Administration  
Tread Lightly in Idaho. Department of Interior, Forest Service

15. STATISTICS (Publications of any nature that report statistics.)

EXAMPLES:

County and City Data Book in CD-ROM. Department of Commerce, Census Bureau  
Weekly Weather & Crop Bulletin. Department of Agriculture, Statistical Reporting Service and Department of Commerce, National Oceanic & Atmospheric Administration  
Turkey Hatchery. Department of Agriculture, Statistical Reporting Service  
Inorganic Chemicals. Current Industrial Reports. Department of Commerce, Census Bureau  
Area Wage Survey. Albany, GA. Department of Labor, Bureau of Labor Statistics  
County Business Patterns in CD-ROM. Department of Commerce, Census Bureau

16. MARKETING, PROMOTIONAL FLYERS & PAMPHLETS

EXAMPLES:

Planning a Trip, Vacation, Relocation. Department of Commerce, National Climatic Center  
U.S. Government Books. U.S. Government Printing Office  
New Books. U.S. Government Printing Office

17. MONOGRAPHS (substantial publications complete in one part or a finite number of parts.)

EXAMPLES:

Understanding United States Foreign Trade Data. Department of Commerce  
The New Human Genetics. Department of Health and Human Services, National Institute of Medical Services  
Mapping & Research in the Exclusive Economic Zone. Department of Interior, U.S. Geological Survey  
Understanding Taxes, a multi-media kit. Department of the Treasury, Internal Revenue Service

APPENDIX IIITYPES OF PUBLICATIONS EXCLUDED FROM THE DEPOSITORY  
LIBRARY PROGRAM

PURPOSE: This appendix describes types of publications excluded from the Depository Library Program and provides examples of each type. Because they are for official use only or for strictly administrative or operational purposes, they are deemed to have no public interest or educational value.

1. JOB VACANCY NOTICES or ANNOUNCEMENTS
2. RULES, NOTICES, and HANDBOOKS CONCERNING RECREATIONAL and WELFARE ACTIVITIES and SERVICES for FEDERAL EMPLOYEES. Includes such areas as bowling league materials, notices of picnics, parties, blood drives, health clinics, social club minutes, charity contributions, etc.

## EXAMPLE:

General Manual - Merit Protection Plan  
USDA Club of Franklin County Meeting Notice  
Reclamation Mixed Bowling League - Handbook

3. MEMOS, DIRECTIVES, NOTICES, and MANUALS of FEDERAL AGENCIES used to implement PERSONNEL POLICIES, training activities of specific agencies and other internal administrative operations. (This does not include government-wide personnel and training activities such as those conducted by Office of Personnel Management.)

## EXAMPLES:

Information for Employees Transferring at Government Expense  
Department of the Interior, Bureau of Reclamation

4. DATA INPUT FORMS used to record information to be put into manual or computer record systems.

## EXAMPLES:

ADP Nonexpendable Movable Property Responsibility  
and/or Project Serial & Retrieval Input  
Input Form for Describing Biological Families & Genus



5. FORMS THAT FACILITATE CORRESPONDENCE or control scheduling and collection of data, or route information in such areas as property or equipment management, personnel, operational statistics, or guidelines for internal procedures.

EXAMPLES:

Memo & letterhead stock  
Transmittal slips  
Guidelines for Correspondence Performance

6. PERSONNEL EVALUATION FORMS
7. SOLICITATIONS for the awarding of procurements including specifications and related documentation. These are usually advertised in the Commerce Business Daily and the Federal Register and can be acquired from the agency.

EXAMPLE:

Invitation for Bid Requests for Proposed Purchase Requests

8. ACCESS PASSES (ID's) for automobiles, people, or buildings.
9. SIGNS and BUMPER STICKERS THAT INSTRUCT, such as "quiet" or "wet paint," or give information, such as parking lot number or medical and access warnings.
10. WORKING DRAFT (preliminary version which is intended for strictly internal review and revision and does not go to any segment of the public for review or comment.)
11. FORM LETTERS designed to go to multiple recipients.
12. USER MANUALS for computer programs in the area of information covered by the PRIVACY ACT.

EXAMPLE:

Pay/Pers System Time and Attendance Instructions

13. AGENCY CONTROL FORMS, handbooks and manuals used in the management of property such as typewriters, paper, etc.

EXAMPLE:

Warehouse Catalog

## Readers Exchange

### *Development and Implementation of an Online Database For Bibliographic Control of Governments Documents in a Selective Depository*

Cushing-Martin Library at Stonehill College has served as a selective depository for U.S. government documents since 1963. During the summer of 1988, the Government Documents Assistant, in conjunction with the campus Academic Computing Center and the Reference Librarian, began automating the documents shelflist using a database on the VAX mainframe computer housed in Academic Computing. This article describes the steps involved in implementing the current automated system.

Before automation, documents were recorded on a shelflist file consisting of at least one 5" x 8" card for each Superintendent of Documents (SuDoc) classification stem. Publications were entered onto the cards as they were received, which, of course, was not necessarily in SuDoc number order. Since most classification stems required several cards, with some stems requiring up to twenty, it was very difficult to determine if the library owned a specific document. Weeding, inventory, and other necessary functions were difficult with the manual system because the documents were not in shelf order on the cards.

The possibility of automating the shelflist arose from the method of weeding devised by the Documents Assistant for use with the manual system. She entered data from the shelflist cards onto a personal computer using the Mass-11 word processing software. Mass-11 sorted the data by SuDoc number, creating a list in shelf order which was then used to weed the collection. The documents staff, therefore, entered the information onto the Mass-11 database in order to discard the documents, but the information in the database was not used for any other reason. The Documents Assistant suggested that it would be more sensible to enter the information onto a database when the documents were received, rather than immediately before they were discarded. The information could then be used for many purposes other than solely for discarding the document. Our goal was to improve our ability to manage and consequently, to access the documents.

The Documents Assistant and the Reference Librarian agreed that the database should be not merely an automated version of the shelflist cards. Instead, the system should be improved so that more useful information could be obtained from it than was possible with the manual system. In order to ensure that the automated system would be an improvement over the manual one, the Documents Assistant analyzed the ways the library obtains, processes, stores, and retrieves documents, as well as how they are counted for statistical purposes. Documents are handled in four different ways and stored in approximately fifteen different locations. The following list of desired capabilities was drafted:



<b>Procedure:</b>	<b>Desired Capabilities:</b>
Weeding	Search for documents received more than five years ago Sort by location and SuDoc number Delete records
Inventory	Search by library location and SuDoc number
Reference	Search by keyword in title, including truncation
Library acquisition list	Search by date of receipt Sort by SuDoc number Add headings to list

Additional capabilities which were desirable but not vital included:

- Record of shipping lists received and completed
- Automation of monthly and annual statistics
- List of item numbers selected
- Separate database file for serial publications
- Claims and rainchecks distinguishable from other records
- Circulation records for non-cataloged documents

With the analysis of the library's use of documents and the list of desired capabilities completed, we consulted the staff of the Academic Computing Center on campus. During initial meetings it became apparent that it would not be possible to use a personal computer for the project due to the enormous amount of memory that would be required. As a result, the possibility of using a commercial serials control system was investigated; this option was eliminated because such systems could not accommodate many of the desired capabilities. Academic Computing subsequently suggested using a database in the VAX mainframe, accessed through a terminal in the library with a direct connection to the mainframe. The advantages of this idea included the fact that the database, part of the Mass-11 word processing software in use on campus, would be flexible enough to accommodate our current and estimated future needs; also, Academic Computing assured us that we would be allowed to use as much computer memory as necessary.

In September of 1988, the library was hardwired into the Academic Computing Center and a terminal was installed in the Government Documents office. By this time the shelflist database had been set up by Academic Computing and was ready to use. Due to conflicts in the schedule of the Academic Computing staff, the Documents Assistant received very little training on the database and learned much of the system on her own. Because the library had decided to enter all new documents (except serial records) immediately into the database, the department's student aides began using the database before the Documents Assistant had become completely familiar with it. Fortunately, the student aides were very flexible in using the database, especially during



the first months of operation when procedures changed constantly, and appropriate sections of the procedures manual were written after problems arose.

Prior to automating the shelflist, student aides checked a card file of item numbers to determine which items on a shipping list should be included in a shipment. After automation, a separate database of item numbers selected by the library was created, to be consulted instead of the cards. This database includes the item number, the classification stem, and the library location of the majority of publications within the stem. A printout of the database is currently used by the student aides to decide which documents we should receive.

The records in the database include the complete SuDoc number, the title of the document (up to 100 characters), the date the document was received, and the location code. Temporary location codes designate publications to be weeded, included on an acquisitions list, or with another temporary status.

In order to control the quality of the new records that are entered into the database, students add new records to a temporary database file separate from the main file. The Documents Assistant reviews the temporary records for accuracy before adding them to the main database. Once they are entered into the main database, they are sorted by SuDoc number and assigned record numbers. When a search query is entered by the user, the VAX searches the database sequentially for matching records. The user may designate a specific section of the database to be searched, decreasing the processing time required.

The librarians and assistants of Cushing-Martin Library are extremely pleased with the automated shelflist database. While the amount of time required to process a shipment of documents has not changed considerably from pre-automation days, the system saves time in several ways. First, and foremost, the system allows us to serve the public efficiently through subject and SuDoc number access. Under the manual system, it was not possible to check our records to see if we owned a document on a specific topic without checking other bibliographic tools first. Using keywords and Boolean operators for subject access, we can now search the database for documents. Our ability to provide accurate and efficient documents reference service, therefore, has increased substantially under the automated system.

Second, each semester the Catalog Librarian compiles a list of materials, including government documents, recently acquired by the library. Before automation, the Documents Assistant manually assembled the documents component of the list by sorting through the shipping lists and choosing the new documents to include on the list. Information about the documents was entered onto Mass-11, sorted by SuDoc number, and edited to arrive at the final list. Currently, a temporary location code is entered for new documents that will be added to the Recent Acquisitions list. Each semester, all records with the temporary code are printed, edited, and submitted to the Catalog Librarian for inclusion on the list. This eliminates the need to search manually through the shipping lists and greatly decreases the amount of time needed to compile the list.

Weeding is the third process which has been simplified and made more efficient by the automated shelflist. Under the manual system, it was difficult and time-consuming to weed old and outdated documents from the collection, since the records were not in SuDoc number order on the shelflist cards. It was necessary to enter and sort the records on the word processor before discarding the documents. Currently, the records for the appropriate section are printed from the database and checked against the shelves. The documents are reviewed and either retained or discarded according to government regulations. Until all old records have been added to the database, weeding will continue to require some use of the manual shelflist cards.

We expect inventory to be much less labor-intensive under the automated system than under the manual one. Comparisons between our records and the documents themselves should be much easier due to our ability to sort and print in SuDoc number order.

The major weakness of the automated system is its inability to check for spelling errors or to make changes easily. We have solved this problem by using the word processor to check for errors. However, time spent converting files from the database to the word processor and vice versa could be eliminated if the database itself were capable of identifying and correcting the errors. A second weakness is that the computer sorts data character-by-character, instead of entity-by-entity. Since this results in errors when sorting by SuDoc number, the Documents Assistant must check the results and make appropriate changes. The staff of Stonehill's Academic Computing Center have been extremely supportive throughout the implementation of the database. Our system represents the largest use of a database on campus, and it has provided the Academic Computing staff with the opportunity to discover the capabilities and problems of the system. They have willingly increased our allocation of memory in the VAX mainframe, and they back up our files daily. Implementation of the database would not have been possible without their cooperation and support.

Eighteen months into implementation of the database, we are pleased with the progress we have made toward our original goals of improving our ability to manage and to access the documents. We plan to continue to improve both the management of our documents collection and the quality of the access we provide to our patrons, with future enhancements to the system.

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